

LOBBYING
REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual			
Caterpillar Inc			
2. Address			
Address11425 K Street, N.W.		Address2Suite 400	
City	Washington	State	DC Zip Code 20005 Country USA
3. Principal place of business (if different than line 2)			
City	Deerfield	State	IL Zip Code 60015 Country USA
4a. Contact Name		b. Telephone Number	c. E-mail
Mr. Christopher J. Myers		2024660671	Myers_Chris@cat.com
5. Senate ID#			8475-12
7. Client Name <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality			6. House ID#
Caterpillar Inc			313190000

TYPE OF REPORT

8. Q1 (1/1 - 3/31) Q2 (4/1 - 6/30) Q3 (7/1 - 9/30) Q4 (10/1 - 12/31)

Year 2019 ☐ ☒ ☐ ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination ☐ Termination Date

11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13	
<div>12. Lobbying</div> <div>INCOME relating to lobbying activities for this reporting period was:</div> <div>Less than \$5,000 <input type="checkbox"/></div> <div>\$5,000 or more <input type="checkbox"/> \$ <input type="text"/></div> <div>Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income for the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</div>	<div>13. Organizations</div> <div>EXPENSE relating to lobbying activities for this reporting period were:</div> <div>Less than \$5,000 <input type="checkbox"/></div> <div>\$5,000 or more <input checked="" type="checkbox"/> \$ 1,410,000.00</div> <div>14. REPORTING Check box to indicate expense accounting method. See instructions for description of options.</div> <div><input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only</div> <div><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</div>

	<input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code
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Signature Digitally Signed By: Christopher J. Myers

Date 7/22/2019
6:06:40
PM

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code HCR

16. Specific lobbying issues

S. 684, H.R. 748, "Middle Class Health Benefits Tax Repeal Act," (entire bill)

General issues relating to employer sponsored health insurance program (no bill number)

S. 1895, Lower Health Care Costs Act, (Title I - Ending Surprise Medical Bills, and Title III - Improving Transparency in Health Care)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code LBR

16. Specific lobbying issues

General discussions relating to labor relations issues (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAX

16. Specific lobbying issues

H.R. 1 - Tax Cuts and Jobs Act (entire bill) - P.L.115-97 - Re: implementation

Education regarding CFC Look-through extension (no bill number)

General discussions related to global efforts regarding digital services taxation

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RET

16. Specific lobbying issues

General discussions relating to pension and retirement issues (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayshi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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15. General issue area code EDU

16. Specific lobbying issues

General discussions relating to workforce development and training issues (no bill number)

Higher Education Act reauthorization (provisions related Pell Grants) (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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15. General issue area code FIN

16. Specific lobbying issues

Nominations for the Export Import Bank Board of Directors (no bill number)

Reauthorization of the Export Import Bank (no bill number)

H.R. 3407, the United States Export Finance Agency Act of 2019 (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, Executive Office of the President (EOP), U.S. HOUSE OF REPRESENTATIVES, Export-Import Bank of the United States (EXIM Bank)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRD

16. Specific lobbying issues

General discussions related to trade policy (no bill number)

General discussions related to NAFTA Renegotiation/ U.S. Mexico Canada Agreement (no bill number)

Education efforts regarding Department of Commerce 232 case re: Steel Imports (No bill number)

Education efforts concerning Department of Commerce 232 case re: Auto and Auto Parts Imports (No bill number)

Education regarding China/301 Tariffs (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP), Commerce - Dept of (DOC), U.S. Trade Representative (USTR), Office of the Vice President of the United States

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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15. General issue area code CPT

16. Specific lobbying issues

Corporate patent reform (no bill number)

H.R. 3666, STRONGER Patents Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code NAT

16. Specific lobbying issues

Natural infrastructure (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRA

16. Specific lobbying issues

Infrastructure, FAST Act reauthorization (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BUD

16. Specific lobbying issues

H.R. 3052 Making appropriations for the Department of the Interior, environment and related agencies for FY 2020 (Diesel Emissions Reduction Act funding)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

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AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

Name	Address				Principal Place of Business (city and state or country)
	Street Address				
	City	State/Province	Zip	Country	
	City	State	Country		

26. Name of each previously reported organization that is no longer affiliated with the registrant or client					
1		2		3	

FOREIGN ENTITIES

27. Add the following foreign entities:

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
	Street Address					
	City	State/Province	Country			
				City State Country		%

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization					
1		3		5	
2		4		6	

CONVICTIONS DISCLOSURE

29. Have any of the lobbyists listed on this report been convicted in a Federal or State Court of an offense involving bribery, extortion, embezzlement, an illegal kickback, tax evasion, fraud, a conflict of interest, making a false statement, perjury, or money laundering?

☒ No ☐ Yes

Lobbyist Name	Description of Offense(s)
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